DOCUMENT RESUME

ED 113 834 EA 007 638

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TITLE The Executive and Executive Behavior.
PUB DATE Dec 74
NOTE 41p.

EDRS PRICE MF-$0.76 HC-$1.95 Plus Postage
DESCRIPTORS *Administration; *Administrative Principles; *Administrator Education; Communication Problems; Human Relations; Leadership Styles; *Leadership Training; *Management; Management Development; Office Management; Personality Assessment; Personnel Management

ABSTRACT

This paper presents those functions of an executive that relate principally to his duty to and involvement with people. Subtopics indicate the executive as a leader, a person, a human relations agent, an employer, and a problem-solver. Leaders may be categorized by personality factors, by methods of selection, or the manner in which the leadership function is executed. One of the most critical areas in which the executive is involved is that of problem-solving. While no specific set of character traits or particular executive style can be established as the best, research does indicate that certain personality traits and qualities of leadership are exhibited in successful executives. Essential personal characteristics include faith in humanity, genuine concern for others, initiative and integrity, and a sense of purpose and direction. Quality of leadership is characterized by the degree of technical mastery of the executive, a level of intelligence higher than that of most subordinates, and a social awareness enabling him to communicate effectively with others. (Author/MLF)

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THE EXECUTIVE AND EXECUTIVE BEHAVIOR

G. F. Clifford

December 1974

EA 007 638

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I. INTRODUCTION

Purpose

This paper will study current thought on the behavior and function of an executive particularly as a human relations agent, and as a coordinator and executor of techniques and procedures as related to human relations, on the premise that the executive's most important task is his leadership in the sphere of human relations; the responsibility of the executive to his organization as a corporate body, and the necessary rapport with both superiors and subordinates; and the qualities of leadership, the most acceptable personality traits, and the healthy social climate he should maintain in order to foster the maximum development of his subordinates' potential.

Survey of Literature

In preparing this paper, literature from a variety of sources was consulted to obtain as full a background of the subject as possible within the limits of the project.

While most writers in dealing with executive or related management positions deal largely with the business and organizational aspects, it was noted that some treat the subject from more of a human relations point of view, letting the more practical aspects of management follow as concomitants. As it is the human relations aspect that this paper deals with in the main, these works were used predominantly.

Both Beach and Dyer feature prominently, and no doubt those acquainted with the works of these two men cannot fail to detect the

strong influence of their thinking, particularly in the area of personnel management.

In the preparation of any paper it seems inevitable that certain authors, by their clear logic and concise arrangement of material, command a prominent place in the formation of the basic presentation. Bass, Strauss, Tannenbaum, and Tead were such, and they are at times quoted from. Credit is also given where they represent a major thought, or where their ideas have formed the basis of a passage.

Other writers may be regarded as providing information without which the work would be colorless and lacking in body. Authors Barnard, Bittel and Chapple fall into this category.

Finally, there are many others whose works have been valuable in providing the fund of information enabling the bringing together in smooth harmony the bolder presentations of others. Of such Bergen, Guest, Halpin, Rowland, Wachs, and Weber have featured.

Definition of Terms

The title "The Executive and Executive Behavior" rather demands definition, as both executive and behavior are general terms denoting a particular group of individuals and the characteristics displayed by them individually and collectively.

In this paper an executive refers to a person who assumes leadership or who is placed in a position of leadership, who exerts influence over other people or groups of people, and who is looked upon as an agent of change. Inasmuch as the paper is directed at the human relations aspect of the executive's function, the terms director or manager may be considered synonomous with executive.

Behavior refers to those qualities or characteristics exhibited

by an individual which identifies his personality, function, and duties as a leader of people.

Limits

The research paper is limited by:

The resources available in the current holdings in the Andrews University Library. These include books, journals, magazines, and the material contained in the ERIC microfilm files.

Delimitation

The paper is a survey limited to a presentation of the executive as a leader or manager dealing with people and in particular those people and groups of people in the organizational structure directly subordinate and responsible to him. The functions of the executive which relate principally to his duty as a personnel manager are presented. These functions form the various chapter and sectional headings.

No attempt is made to cover the technical or organizational aspects or the executive position and where these are referred to it is only to clarify relationships or establish the context of the main topic.

A specific executive position or function is not presented, but rather the principles of executive behavior presented are such as are applicable to a variety of leadership positions both in the business and educational fields.

II. THE EXECUTIVE--A LEADER

Definition

In the context of this research paper, the definition of an executive is taken to be synonomous with that of leader. The definitions of a leader, or the quality of leadership, are legion and varied. Three typical definitions will illustrate, however, that there is a common core of meaning in the definitions, giving the essence or quality of leadership its distinction. Bernard Bass (3:83) in his book Leadership, Psychology, and Organizational Behavior defines leadership as involving "a reordering or organizing of a new way of acting, as well as the need to overcome resistence to change." Tead (33:20) says, "Leadership is the activity of influencing people to cooperate towards some goal which they come to find desirable." In contrast to these rather brief and simple definitions, there is that of Tannenbaum (32:24) who states that ". . . leadership is interpersonal influence, exercised in situation and directed, through the communication process, toward the attainment of a specified goal or goals." He states further that leadership involves an attempt on the part of the leader to affect or influence the behavior of a follower or followers in a particular situation. Whether the emphasis is on satisfaction of self-fulfillment or the achievement of external goals, it is clear that leadership is a function rather than an attribute, and that function is to lead, guide, or influence others toward a specific goal or goals.

Leadership becomes cooperative when the goal is desired by both

the leader and the led. Campbell (9:1) emphasizes this when he states that ". . . leadership is to be defined ultimately in terms of group effectiveness." He further states that effectiveness is achieved by the leader eliciting the efforts of others.

It is often advantageous, when considering positive definitions of a quality, to note what that quality is not. Harris (19:390) gives several comparisons between leaders and non-leaders. Here we find that non-leaders are more likely to reject responsibility than leaders. Leaders are less defensive and thus are better able to handle hostility. Non-leaders tend to be less democratic, having little tact, understanding, or permissiveness. They are not concerned with people and their problems.

On the educational side, Sharp (30:61-63, in his article "The Principal as Professional Leader," emphasizes the democratic function of a principal, and nowhere is this more important than in the school situation. Bass (3:87-89) describes leadership by listing some of the characteristics which people see in a leader. Among the more significant are his influence, his status in the community, the esteem in which he is held because of his position and the responsibility he carries. Bass also states that the actions of leaders affect other people to a greater extent than do actions of non-leaders.

The Management Function

Management has been defined by Rowland (29:141) as "the direction of people, not the direction of things." While it is recognized that the work of an executive includes far more than that of personnel management, this component of executive function is, in fact, one of the most

significant. This function will be discussed more fully in a later section, while the managerial function of the executive as it relates to both subordinates and superordinates is presented here.

According to Strauss (31:212) the environment in which the executive must work is created by his own personality, the personality and background of his subordinates, the type of work in which he is engaged, and the urgency or pressure under which he works. Halpin (17:144) gives two more factors which create the pattern or atmosphere under which the executive works. These are communication and innovation. Lest one be overwhelmed at the breadth of responsibility of the executive under these various factors, Halpin (17:144) states that "the fine art of executive decision consists in not deciding questions that are not now pertinent, in not deciding prematurely, in not making decisions that cannot be made effective, and in not making decisions that others should make."

With this as background, the managerial functions as outlined by Tannenbaum et al (32:254,249) in the book Leadership and Organization: A Behavioral Science Approach, are listed:

1. Organization
2. Direction
3. Control
4. Administration
5. Coordination
6. Representation

It is readily noted that the emphasis is on the direction of personnel rather than the management of a physical plant, facilities, or equipment. In his description of the management function, Bergen (7:5) emphasizes the human relations aspect when he summarizes the management function as being that of the planning, directing, and checking of operations against goals and plans with the organization of people, both individually and collectively, to carry out these plans.

The Nature of Leadership

In the definition of leadership it was stated that leadership is a function, and not an attribute. On the other hand, the nature of leadership refers to its attributes, or the characteristics by which others are influenced to accomplish specified objectives. According to Beach (4:434) the effective leader gets others to act in the manner he desires, and to do this he may impel, persuade, threaten, or appeal. In the same context Beach indicates that the leader must "talk their language" if he is to lead the constituents successfully. On the other side of the coin, the leader may also be regarded as an agent of the led, and he seeks to satisfy the needs of his followers. There is thus an intimate and integral relationship between the leader and the led. This relation is tempered by the situation or event which calls for leadership. In his article on "Leadership and Crises" Hamblin (18:329,330) notes that leaders have more influence during periods of crisis than during periods of non-crisis. If a leader then fails to solve the crisis problem, or does not have an obvious solution to the problem, he is usually promptly replaced. This indicates that leadership is called forth by crises, and, in fact, by situations where decisions have to be made.

Leadership Types

Leadership types are classified in a number of ways. Some classify leaders under their behavior patterns. Others on the method by which the leader is selected. Still others by the manner in which leaders execute or carry out their leadership role.

Jean Hills, in her article "The Representative Function: Neglected Dimensions of Leadership Behavior" (20:84), notes that of the two

elements involved in leadership styles (namely, the behavior of the leader and the nature of the group), one involves the personal behavior characteristics of the leader. Leadership types may be characterized then by factors such as integrity, social adaptability, enthusiasm, energy, and so forth, and by the influence they have on a group. This may be regarded as leadership behavior patterns.

In classifying types of leadership under the methods of their election or selection, Tead (33:22) lists three categories. First, the self-constituted leader, which is one who assumes the position of leadership by virtue of his strong personality, and, in some cases, is considered a "born leader." Second, there is the leader who is selected by the group. This is usually a democratic process, and is often considered the most effective type of leadership. Finally there is the type of leadership where the leader is appointed by the leader's superiors. This category of leader is considered less effective from the group standpoint than the group-selected leader. Bass (4:439) accepts the latter two categories as given by Tead, but categorizes them as informal and formal types. The informal type of leader is the leader of social clubs and societies who is usually chosen democratically or at least by some representative body of the group, and leads by virtue of his influence and prestige with the group. The formal type of leader is the one selected by his superiors and possesses power over subordinates in respect of their security or position. The formal type of leader may also use the tools of persuasion, influence, and prestige, but not necessarily so.

Bass (4:447) also gives us leadership classification based on the manner in which the leadership function is executed. This leadership pattern can be ranged along a continuum. The types which he suggests

are: exploitive, autocratic, benevolent-autocratic (paternalistic), consultative, and participative. These types range from a very rigid system of control and authority to the democratic approach where decisions are made by a team, and where the team may even set the limits of leadership control and authority.

Leadership Evaluation

Leadership evaluation takes on two aspects; namely, self-evaluation and evaluation by others. The more traditional method of leadership evaluation is that executed by superiors and in some cases by peers or even subordinates, and involves various techniques, such as essay evaluations, rating charts, check lists, and various procedures categorizing observed behavior. Most of these traditional methods do not differentiate between attempted and successful leadership (Beach, 3:107). Oftentimes, as brought out by Marak (27:182) in his article "The Evolution of Leadership Structure," one's measure of leadership is the ability or power to supply rewards to the other members of the group. The converse of this also appears to be true, which is that the failure to provide this type of reinforcement results in the loss of leadership. In the self-evaluation type of assessment leaders are required to set out their objectives prior to, or at the time of, taking office, and the evaluation takes place periodically. Evaluation is by the leader himself in cooperation with his immediate superior. This procedure is often referred to as management by objectives (MBO). Tead (33:214) notes certain personal factors which, in a self-evaluation, should be taken into account. Among others he notes the following negative factors:

1. Love of power
2. Emotional instability
3. Obsessive fears
4. Inferiority feelings
5. A tendency to rationalize

While these tendencies may be taken into account also by those assessing leadership by the more traditional methods, it is nevertheless incumbent on the executive himself to endeavor to assess whether he displays these negative qualities in his leadership.

III. THE EXECUTIVE--A PERSON

Executive Styles

The executive is often caricatured as a man of ample proportions with a large gruff voice and authoritarian manner. He is rarely affected by the woes and wants of his subordinates. However, research seems to indicate that there is no stereotype of a leader, either in behavior or in personality. Beach (4:348,349) says that there is no such thing as a "leader type," and that there are considerable variations in the personality, ability, capability, and skill of successful leaders. He does, however, emphasize that there appear to be certain common traits, such as social sensitivity, engagement in social activities, and skill in communication. The leader must also be attuned to the needs of others and he must be sensitive to their feelings, their goals and their problems. The introvert is seldom an effective executive, as he is both a poor social participant, and is often lacking in basic communication skills. The leader must be awake, alert, enthusiastic, willing to propose, suggest, participate in, and coordinate group functions (3:438,439).

An executive should develop a style which is natural to him, and one which he can display without undue strain on his temperament. Dyer (12:72) notes that "people expect the executive to stick to his adopted style of behavior," and that changing his personality is a strain on them, and they will not be able to keep up with the various changes in attitude and behavior. In endeavoring to adopt a particular personality and style appropriate to an occasion or position, there is always the danger of

misrepresenting our real selves, and of falling into one of the four categories listed by Bittel as precarious to the executive's position and influence (8:255). The four categories he lists are:

1. What others think we are
2. What we think others think we are
3. What we think we are
4. What we wish we were

These may be regarded as protective masks, and the successful executive endeavors to avoid any personality concepts of these types.

A fifth category is the person we really are. This is the person hardest to know, and an executive who understands his true self is in a strong position to develop his own leadership style.

Qualities of Leadership

From a survey of the literature it is apparent that the effectiveness of a leader or executive depends, in the main, upon two factors. The first is his qualifications, and the second, the personality traits exhibited by him. As Fiedler says, (14:261) ". . . leadership effectiveness takes account of the leader's personality as well as the situational factors in a leadership situation." Considering the qualities of leadership, it is found that most authors agree on a common core of leadership qualities which research has found effective leaders must display. Summarized here is a list synthesized from the qualities given by Tead (33:115-138), Dyer (12:74), Beach (4:508), and Guest (16:155). These qualities are not ranked in order of importance.

1. Technical mastery: this involves sufficient knowledge of the process or procedures to give wise guidance to the effort as a whole
2. Intelligence: in this connection Beach brings out the

thought that the intelligence of the leader should not be far in excess of his subordinates, but should nevertheless be above their average intelligence

3. A social sensitivity, or a social awareness which makes the leader acceptable to others

4. Decisiveness: this quality includes a calm, steady, judicial approach to the problems of management, and a determination to get the job done

5. Good communication skills: this factor includes relationships between the leader and subordinates, both on the job and in a social, informal setting

One might sum up these qualities by stating that a leader must be a practically oriented extrovert with a high interest in people, a high intellectual ability with an understanding for practical needs, a tendency towards conservatism, and sensitivity to traditional ideas.

In Elizabeth Antley's study on "Creativity in Educational Administration" we find that she naturally stresses (1:26) the additional factor of creativity. She notes that administrators scoring high in creativity also exhibit high scores on job knowledge, level of decision-making, number of solutions to problems they can propose, and the large number of persons they involve in their decision-making.

With respect to the personality traits, we find that these are rather more difficult to measure and evaluate. However, Weber (36:8) conducted a survey involving some forty thousand children in which they were asked to list the characteristics which they appreciated most in their teachers. It is interesting to note that the personality traits rather than the actual skills or abilities of teaching rated the highest.

These forty thousand children considered a cooperative, democratic attitude displayed by the teacher as the most important quality, with kindliness and consideration coming second, and patience, third. Proficiency in teaching rated twelfth. Some authors lump all personal traits together and call the whole by some term such as loyalty or responsibility (2:220), while others list in great length and detail the individual characteristics which they consider essential, or which should be displayed by leaders. It is also noted that many authors list both qualities and personality traits together. The following list is adapted from the lists of qualities and personality traits submitted or suggested by Chapple (10:138,139), Bass (3:167), and Tead (33:83).

1. Listening ability
2. Flexibility
3. Consistency
4. Sociability
5. Dependability
6. Friendliness and affection
7. Integrity
8. Decisiveness
9. Self-confidence
10. Persistence
11. Initiative
12. A sense of purpose and direction
13. Faith in others

These are the personality traits which are most looked for in leaders. Chapple (10:192) advises leaders continually to analyse their personality in order to determine just how their personal characteristics

affect others. He states that incompatability in this area can indeed create a lack of cooperation between a leader and subordinates, and may even result in outright hostility.

In connection with personality traits, Chapple (10:140,141) notes that there is always a certain amount of stress between leaders and subordinates, and for this reason Bittle (8:253) advises that "somehow, each good manager, finds a way to stand aside from himself so that he can judge his behavior as his subordinates, peers, and superiors do."

IV. THE EXECUTIVE--A HUMAN RELATIONS AGENT

The Importance of Human Relations

"Human organisms do not function except in conjunction with other human beings" (2:11). Not only is this statement true on a biological basis, but it is true in the social realm. The executive is a human relations agent and the importance of this aspect cannot be over emphasized. Most authors indicate that dealing with people is both the executive's chief function and his most difficult task. Bergen (7:5) states that "when a candidate for promotion fails to make the grade the most persistent cause is his ineffective relations with others." He goes on to note that unless a manager develops his relations with others he is bound to be shaken out.

The human relations aspect is so complex and so crucial to successful organizational performance that the manager today must avail himself of every technique to improve his relations with others, and in particular his subordinates. It is the opinion of Dyer (12:146) that there are no little personnel problems. He suggests that personnel problems which may appear small and insignificant are largely the result of continued pressure due primarily to poor human relations. He suggests that in the treatment of personnel problems we not concern ourselves so much with the symptoms as with the basic cause or causes. This thought is also expressed by Tannenbaum (32:79) where he notes that a successful manager may be neither a strong leader not a permissive one, but is rather one who is able to assess accurately the forces which determine

what his most appropriate behavior should be in any given situation and to behave accordingly.

Elements of Human Relations

In a consideration of the elements of human relations, we might divide our approach into two aspects. First, there are what might be regarded as the principles of human relations, and second, the technique of developing good human relations with subordinates.

Executives must realize that we live in a world of change. Employees react more readily, perhaps, to change than do executives. It is necessary also to be aware of the fact that a person feels his own problem more acutely than does anybody else. It is, nevertheless, incumbent upon the leader to understand the behavior of the individual and the situation in which he exists. One of the basic endeavors of employees is to maintain and even enhance their status and position. In this connection, Dyer (12:15) proposes three factors which are important for the executive to recognize. First, that some men, with ability, are going to advance even if they are not helped or assisted. Second, some men will advance more quickly than others; and finally, the men you develop (and not the men you just boss) will, in the long run, be the measure of your worth to top management. This latter point may be put in another way. It appears that executives sometimes endeavor to hold subordinates in positions for fear of such men overtaking them in achievement and position. It should be the purpose of every executive to try to promote subordinates, which will be of benefit to the organization. It should indeed also be a gratifying experience for a leader to see those under his tutorship advance to positions of authority and responsibility. Nowhere is this more true than in the educational field where teachers and others engaged

in instruction should find inner satisfaction in seeing former students rise to heights which they themselves never attained.

In establishing good human relations Pigors suggests (28:266) four factors which develop good human relations. They are:

1. Common goals should be established, thus making the organization or the project a team effort

2. Everyone should have a clear understanding of what is being accomplished

3. The executive should lessen the number of people involved between the problem and decision levels

4. The executive should invite feedback

By analyzing the elements of human relations, it is possible to suggest ways and means to avoid conflict and clash. Human relations, to a large extent, involves resolving the problems of subordinates, and of meeting the demands and requirements of superiors. In connection with the former, a survey (36:13) of some 473 teachers was made in an effort to determine the nature and importance of their personal problems. These were then analyzed and ranked in order of frequency and importance, and the following points emerged.

Of prime and greatest concern to the teachers was the question of salary and salary schedules. Next in importance were listed orientation procedures, in-service training, selection of new teachers, teacher participation in administration and evaluation of teacher services. Of lesser importance were transfers, promotions and dismissals, and relations with non-teaching staff. It is interesting to note that professional assistance in the teaching function and teacher supervision did not appear as a problem to teachers. It was deemed of little importance.

This brief presentation ranking personal problems of teachers indicates that most of the problems which concern teachers are those which affect their personal lives, status, and recognition. Bearing these factors in mind, it is noted that Strauss (31:199) and Bittel (8:175) outline various techniques for developing good human relations. These suggestions are not particularly aimed at the teaching profession, but were prepared for the business world and business organizations. However, the principles and techniques apply. The following list is a synthesis of those given by the two authors.

1. Manifest an attitude of success and optimism in dealing with subordinates

2. Develop an openness and objectivity toward others

3. Set up situations with which the employee can make his job easier by cooperating with others

4. Provide special help or attention to those in positions in isolated areas

5. Assign men so as to avoid the growth of conflicting sub-groups

6. Avoid putting those with obvious personality conflicts to work together

7. Cut down on excessive transfers between departments

8. Rotate jobs within the group to strengthen team identification

9. Introduce new workers to the team system

10. Develop and improve employees' knowledge and skills

11. Provide financial incentives

Consideration is next given to the aspect of relating to superiors. Wachs (35:83) gives suggestions as to how a leader might work and communicate more effectively with his superiors, as follows:

1. Make your own decisions as far as possible within the context of his directions

2. Keep your boss informed of your progress

3. Treat your boss respectfully and correctly

4. Find out exactly what he expects of you

5. Make yourself available to the boss

6. Endeavor to do successfully everything he expects of you

7. Meet him more than halfway

8. Be where your boss wants you to be when he needs you

9. Find out how to do successfully what he expects of you and line up the facilities you need in order to carry out his wishes with as little deference of detail to him as possible

10. Be prepared to make useful suggestions in relation to your job

Communication

Without adequate communication human relations tend to break down, and we are all aware of mistakes, often with serious consequences, which have resulted because orders or instructions have been minunderstood or misconstrued. Two aspects will be considered here; first of all, why

communications break down, and secondly, ways of oversoming barriers to communication.

According to Strauss (31:224-231), communications most often break down for the following reasons:

1. A person hears what he expects to hear

2. A person tends to ignore information that conflicts with what he already knows or assumes he knows

3. A person tends to evaluate the source of the directive as to whether it is important or not; if he considers the directive as coming from an unimportant source, he tends to ignore it, and vice versa

4. The influence of the 'halo' effect--this refers to the phenomonon where if, for instance, we trust a person, we tend to believe and regard as good everything he says

5. People may interpret the same directive in different ways; this may be a problem of semantics or a lack of sufficient information

6. Occupations have 'special languages known as argot--this is most evident in specialized occupations or in closely knit social groups

7. Non-verbal indicators are easily misunderstood. This refers to gestures, stance, or even the manner or walking

8. The tone of voice indicating emotion or lack of it

This same author, Strauss (31:243) suggests a number of ways of overcoming these barriers to communication. Among the more important are:

1. Face to face methods of communication: this is obviously an ideal method, especially if the employee is at liberty to question or elicit further information from the one giving the directive

2. The careful timing of messages: messages should be conveyed at a time when their import or impact is at a maximum

3. The use of simple, direct language: for instance, the avoidance of double negatives and obscure phrases and terminology

4. What Strauss calls "the proper amount of redundancy" should be used: this refers to the technique of repetition, or of saying the same thing in several ways, to make sure that it is understood

5. An awareness of symbolic meanings of particular actions or directives

6. A sensitivity to the private world of the receiver

7. A reinforcement of verbal communication with some means of checking to see if the communication is properly received and understood

8. Feedback from employees to assist in determining how areas of communication have broken down

V. THE EXECUTIVE--AN EMPLOYER

Human Resources

The most important factor which an executive must consider is that of his human resources. This is sometimes referred to as planning for man-power needs. The success or failure of an organization is due largely to the calibre or quality of its workers, and the effort they exert on behalf of the organization. Beach (4:91) emphasizes that "the human resources of any organization constitute one of its most important assets." In planning human resources, apart from the qualifications and skills of the workers, Beach (4:191) suggests three factors. First, the executive must consider the rate of employee turnover; second, the rate of growth of the organization; and finally, the nature and character of the present work force. These three factors are basic and will determine the success or otherwise of the organization.

Selection of Employees

Beach (4:218) suggests guidelines in the development of a selection policy He considers it important that an executive establish the following principles on which selection policies are based.

1. Vacancies should be filled from within the organization as far as possible. This means that the organization introduce training programs, and advertise within the organization the vacancies available before seeking personnel outside the group

2. Selection policies should conform to public policy in such

areas as state and federal labor laws, wage laws, child labor laws, minimum ages of employment and anti-discrimination laws

3. The executive should guard against excessive hiring of the relatives of employees.

4. The executive should establish realistic and relevant selection standards: selection standards or criteria should be only those which have a definite relationship to the job

With these basic policies in mind, it is possible to develop a program of employee selection appropriate to the goals of the organization.

As a rule selection involves the application by a prospective employee for the position. This may include an interview and the completion of an application blank. Oftentimes the interview is regarded as preliminary to a confirming interview by a senior executive. The selection process may also involve psychological or personality tests and a medical examination. Upon approval, the new employee is given an orientation course, or engages in a period of instruction before actual employment starts.

It is important that the executive continually audit and appraise the selection process to ascertain its efficiency. Beach (4:218) suggests that the following areas be noted in a recruitment program:

1. The program should be analysed continually with respect to policies, procedures, and effectiveness

2. How well recruitment procedures are communicated to applicants and to others involved in the selection process

3. A periodic assessment as to how the program is actually implemented

4. A system of feedback on the process: this may involve an analysis of employee turnover, success rate, resignations, and the relative importance of selection criteria and procedures

Employee Appraisal

Employee appraisal might be defined as the systematic evaluation of the individual as to his performance on the job and his potential for development. It is obvious that in any employer-employee relationship there is bound to be some type of appraisal. Beach (4:256) elicits six reasons why appraisal of employees is carried out. First, it is an attempt to determine the quality and proficiency of employee performance. Second, it makes the employer aware of the development of the employee in skills, abilities, and knowledge. Third, the employer is able to establish adequate wage and salary treatment. Fourth, the employer is guided with respect to possible job changes and promotions. Fifth, it assists the employer in establishing standards of supervision. Sixth it helps to establish and validate personnel recruitment programs.

Beach (4:262) further outlines the common methods of appraisal used, and these include various types of rating scales to indicate quality, dependability, incentive, and other attitudes. There is also a method of employee comparison, where one employee is ranked or assessed against another employee. There are the various types of check lists which may either be a weighted or a forced choice type of listing. Closely allied to the check list appraisal system is the free form essay. This type, however, is often more subjective than the check list rating, and the bias of the supervisor might intrude on the appraisal. Also suggested as significant types of appraisal are the critical incident

method, the field review style and the group appraisal method. Perhaps the most useful form is suggested by the same author (4:278) where appraisal involves the mutual setting of goals by employer and employee. This is a cooperative effort between the employee and the employer.

Whatever method or technique of appraisal is used, it should be the aim of the executive to treat with fairness and without bias each employee, so that each realizes his full potential.

VI. THE EXECUTIVE--HIS JOB

Philosophy

The concept of managerial philosophy originates in history, and the principal milestones may readily be traced, from the initial issue of the Mosaic ten commandments, down through the Christian concept of management as enunciated in the Sermon on the mount, to the Roman and British concept of justice under law. In the United States of America, the Virginia Bill of Rights, the Declaration of Independence, and the First Amendment to the United States Constitution are familiar pillars in the structure of managerial philosophy, and the basis of the conduct of one person toward another. The United Declaration of Human Rights is a further statement of the basic rights of each person to treatment based on respect and equality. Modern managerial philosophy is based on a rather optimistic view of the nature of man, and according to Beach (4:51), man is to be considered "potentially creative, turstworthy and cooperative." Man also "has potential for growth, achievement and constructive action." It is the job of an executive to tap these productive drives in man. It is on this foundation that modern managerial philosophy is based.

Beach (4:42) elaborates on this philosophy, stating that people must have a purpose and must have objectives to serve as standards against which their performance is measured. It is the job of an executive to provide work experience that is meaningful and satisfying to an employee. Work should also encourage a commitment to organizational objectives and a climate where employees feel free to contribute toward decisions

affecting the business.

The Executive Job

While the job of the executive may differ in detail from position to position, it is generally accepted that the executive's job centers around communication. As Barnard (2:215) says, an executive serves as a channel of communication, or perhaps more precisely, one who maintains the channel of communication. Rowland (29:39) describes the executive's position as one who determines wage and salary provisions, directs the people under him, and engages in certain technical duties. This is, perhaps an over-simplification, seeming to stress the financial aspect as being as important as the direction of people.

A classification of the job of the executive which seems to be more appropriate lists the duties as being technical, managerial, and teaching. The technical aspect refers to the physical operation of the plant, various procedures, and processes. The managerial aspect affects employees, as does the teaching aspect which consists of a training program to provide ready man-power to fill vacancies created by employees leaving, or new positions being created due to expansion of the organization.

VII. THE EXECUTIVE--THE PROBLEM SOLVER

Principles and Guidelines

While the executive will continually be faced with problems of a technical nature, it is accepted that his most pressing problems will be in the area of human relations. Tannenbaum (32:101,102) states that the executive's most uncomfortable moments will be when he has to deal with differences between people. It is, therefore, important to recognize these differences in order to improve the executive's approach in solving these problems. General principles are presented first, and the specific techniques which will aid the problem-solving process will follow.

Bass (3:101,102) summarizes the structure of the executive's sphere of influence into five areas; namely, instructing, supervising, informing, ordering, and deciding. The executive's ability to deal effectively with personnel differences depends largely on his ability to recognize and understand these differences, coupled with ability to select an appropriate course of action from a variety of alternatures.

Halpin (17:140) outlines six criteria involved in decision-making, and the executive who accepts these limits as guidelines in the solving of problems will find the process much easier. First of all in the solving of a problem, there must be a definition of purpose. In other words, there must be an attempt to define just what end result is desired. Second, there is the criterion of rationality. The solution must stand up to scrutiny. Third, the conditions of employment must be taken into account, and whether or not these conditions, or lack of them, have

affected or exaberated the problem. Fourth, the regular lines of formal authority must be recognized and followed. Fifth, all information relevant to the problem should be gathered together and presented to both parties for discussion and decision. Sixth, there should be a time limit set on the procedure, so that the problem-solving process can be planned and a definite deadline set for the final solution.

In establishing principles related to problem solving, Guest (16:158) stresses that in these negotiations, the leader should always acknowledge his dependence on his subordinates, and they should cooperatively set targets, which will meet both the needs of the employee, and also be in the best interests of the organization.

Laird (24:1), in his book Solving Managerial Problems, follows the wellknown PPBS system of problem solving. He advocates that in solving a managerial or employee problem, the first step is to recognize and identify the problem. This includes gathering all the relevant information and an effort to determine the cause of the problem. The executive should then generate a list of possible solutions, selecting the one option that will offer the best solution. The final procedure is to put the solution of choice into practice.

Procedures and Techniques

The following procedures and techniques involved in problem-solving have been adapted from those suggested by Dyer (12:114-126,132,136), and Tannenbaum (32:112). No attempt here is made to differentiate between procedures and techniques, and a study of the list presented will make it clear that at times there is, in fact, little difference between these two aspects.

1. Listen with understanding, rather than with evaluation

2. Clarify the nature of the content

3. Recognize and accept the feelings of the individuals involved

4. Welcome differences within the organization, as this leads to a potential for new ideas

5. Clarify who will make the decision involved

6. Suggest procedures and ground rules for resolving differences

7. Determine whether the disagreement or the problem is over facts, methods, or goals

8. Ensure that primary attention be towards maintaining relationships between the disputing parties

9. Create appropriate vehicles for communication; and this includes the correct setting and timing

10. Suggest procedures for facilitating the solution of the problem

11. Present facts, and let these facts speak for themselves

12. Recognize that the job of the executive is to assist and guide

13. Avoid concern over hints or threats

14. Concentrate on the issues, rather than on the symptoms

15. Determine whether the reasons given by the employee for the problem are bona fide, valid and sufficient

16. Take into consideration the record of the employee

17. Take a long and broad view of any infractions

18. Do not permit infractions of regulations, if the safety and well-being of others is involved

19. Think of discipline as a teaching opportunity

20. Be equable and well-balanced

21. Consider the needs of the organization or business

In an attempt to solve management problems, the executive must guard against the possibility of his own bias and personality entering into the problem-solving situation. Both Bass (3:177,178) and Tannenbaum (32:115) list certain factors which guide the executive in a problem-solving situation, and enable him to avoid becoming personally involved. The danger signals indicating personal feeling and involvement as suggested by these two authors are:

1. The tendency to surround oneself with "yes-men"
2. The equating of disagreement with disloyalty or rebellion
3. The tendency to "pour oil on troubled waters"
4. The glossing over of serious differences to maintain an appearance of harmony
5. The accepting of ambiguous resolutions to problems, which permits only more misunderstanding
6. The exploitation of differences between employees to strengthen the executive's personal position
7. A pre-occupation with self
8. Giving the attitude of the executive leading a "lower" group
9. The tendency to suggest concepts and solutions so far in advance of the employees, that the accepting of these ideas would require a radical change in behavior

VIII. SUMMARY

An executive is a person who influences others toward the attainment of a goal or objective; leadership is the function of influencing others toward a goal. This function becomes cooperative when the goal is desired by both the leader and the led, and may be otherwise evaluated as group effectiveness.

This function is complex and interrelated with the goals and objectives of the organization and, more particularly, the lives of both superiors and subordinates. The success of an organization depends to a large degree on the success of the executive as a human relations agent, for, while working conditions and other physical factors are important, research indicates that the human relations climate established between workers and employer is a more significant factor, affecting production and personnel satisfaction.

While no specific set of character traits or particular executive style can be established as the best, research does indicate that certain personality traits and qualities of leadership are exhibited in successful executives. Essential personal characteristics include faith in humanity, genuine concern for others, initiative and integrity, and a sense of purpose and direction. Quality of leadership is characterized by the degree of technical mastery of the executive, a level of intelligence higher than that of most subordinates, and a social awareness enabling him to communicate effectively with others.

In the sphere of human relations he must be able to empathize

with the individual, and concern himself with causes rather than symptoms. The ability to maintain the channels of communication is essential.

As an employer he should adopt and use the best criteria in the management of his human resources. Policies of employee selection should be rational, fair, and equitable. Appraisal of employee performance should take into account employee potential, remuneration, advancement, and degree of skill and proficiency demonstrated.

The executive must be able to solve problems by adopting dertain procedures, attitudes, and techniques of problem-solving that have proved effective. He must be able to anticipate the end results of a particular action; and he must be able to suggest alternatives acceptable to disputing parties, maintaining at all times a freedom from personal bias.

The executive must be capable in the art of group dynamics and sensitive both to the aspirations of personnel and the goals of the organization.

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